



U.S. Department of Justice

*United States Attorney
Southern District of New York*

*The Silvio J. Mollo Building
One Saint Andrew's Plaza
New York, New York 10007*

January 4, 2021

BY ECF

Honorable J. Paul Oetken
United States District Judge
Southern District of New York
40 Foley Square
New York, New York 10007

Re: *United States v. Central States Capital Markets LLC*, No. 18 Cr. 911 (JPO)

Dear Judge Oetken:

The Government writes to respectfully request that the Court so-order the attached *nolle prosequi* dismissing the charges in this cases because Central States Capital Markets LLC (“CSCM”), the defendant, has complied with the provisions of a deferred prosecution agreement entered into on or about December 10, 2018 (the “Agreement”) and previously presented to the Court.

On December 19, 2018, CSCM waived indictment in a proceeding before the Court and was charged in a one-count Information (the “Information”) with willfully failing to file a Suspicious Activity Report, in violation of Title 31, United States Code, Sections 5318(g) and 5322 and Title 31, Code of Federal Regulations, Section 1020.320. At the same proceeding the Court excluded time pursuant to the Speedy Trial Act until December 19, 2020.

Pursuant to the Agreement, prosecution on the Information was to be deferred for a period of two years, and the Government agreed to move to dismiss the Information after the completion of the deferred prosecution period, as long as CSCM complied with its obligations

under the Agreement. The Government has determined that CSCM has complied with those obligations, and so respectfully submits the attached *nolle prosequi*.

Respectfully submitted,

AUDREY STRAUSS
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By:


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cc: Counsel to Central States Capital Markets LLC (by ECF)